

**HARRINGTON et al.**  
Serial No. **09/666,559**

Applicants attach forms PTO-1449 listing documents of record in their parent application. Applicants request the Patent Office to cite and consider each of the listed documents in this case. While the listed documents should all be available in the parent application file history, applicants attach an additional copy of each listed document for the Examiner's convenience.

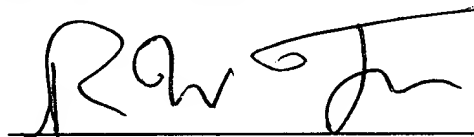
Applicants also attach a further form PTO-1449 listing some "no action" letters from the Securities & Exchange Commission. It is not known whether such documents constitute "prior art" but applicants are nevertheless submitting them out of an abundance of caution.

Applicants request an early action on the merits. If the Examiner finds this case is not yet in condition for allowance and believes that an interview prior to first action would be helpful in focussing and/or resolving issues, applicants request the Examiner to contact the undersigned at the telephone number listed below to arrange a telephonic or personal interview.

Respectfully submitted,

**NIXON & VANDERHYE P.C.**

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<b>Proposed New Claim Language</b>	<b>Example Support in 5/29/97 Provisional Application</b>
65. A real time auctioning process for competitively auctioning financial instruments in response to bids submitted electronically from a plurality of disparately-located bidding devices, the process comprising:	<p>"The present invention relates to a method of conducting auctions, particularly municipal bond auctions, over electronic networks, particularly the Internet." (1:3-6)</p> <p>"It is an object of the present invention to allow bidders from around the world to participate in a real-time auction simultaneously." (5:7-9)</p>
(a) operating an auctioning computer arrangement that communicates electronically over the Internet with a plurality of bidding devices capable of displaying pages in a markup language;	<p>"In a preferred embodiment, the auctioneer is provided with a computer connected to the Internet and the auctioneer is provided with a website on the Internet through a web server that may be accessed by bidders. In the preferred embodiment, each bidder is provided with a computer connected to the Internet and is provided with conventional web browsing software to obtain access to the auctioneer's website." (11:4-12)</p> <p>"The source code which supports operation of the auctioneer's web site is written in HTML (Hypertext Markup Language) and Perl 5. (11:23-26)</p> <p>"Exhibit 1 shows the auctioneer's home page and associated HTML." (8:29-30)</p>
(b) providing display pages in the markup language regarding the financial instrument to said bidding devices over the Internet;	<p>"The bidder is presented with a series of screens to guide him through the bidding process." (11:13-14)  See also Exs 5 &amp; 17</p>
(c) receiving, over the Internet during a real-time auction, bids relating to at least a portion of the financial instrument, said received bids being electronically submitted by different bidders via said bidding devices;	<p>"To allow bids to be submitted for selected bond maturities within a new issue, rather than exclusively on an all-or-none basis." (6:27-29)</p> <p>"Muniauction's 'maturity-by-maturity' bidding option enables smaller, regional underwriters and institutional investors [sic; investors] -- previously excluded from traditional competitive sales -- to bid aggressively for selected maturities." (Ex. 2 page 10)</p>
(d) providing information pertaining to the current best bids over the Internet substantially in real time during said real-time auction;	<p>"The auctioneer's computer broadcasts or otherwise makes available the current highest bid and, if desired the identity of the current highest bidder." (8:5-8)</p>
(e) providing the ability to receive further bids from said bidding devices to allow bidders to improve their bids during said real-time auction; and	<p>"bidders can view the best bid for each maturity and are given the opportunity to make a better offer while the auction is in progress" (6:17-21)</p>
(f) at or after the conclusion of the real-time auction, identifying at least one of said submitted bids as a winning bid.	<p>"At the close of the auction, the auctioneer's computer notifies the bidders' computers of the successful bid." (8:21-23)</p>

<b>Proposed New Claim Language</b>	<b>Example Support in 5/29/97 Provisional Application</b>
127. A real time auctioning system for competitively auctioning financial instruments in response to bids submitted electronically over the Internet from a plurality of disparately-located bidding devices each communicating with the Internet and each capable of displaying markup language pages, the system comprising:	<p>"The present invention relates to a method of conducting auctions, particularly municipal bond auctions, over electronic networks, particularly the Internet." (1:3-6)</p> <p>"It is an object of the present invention to allow bidders from around the world to participate in a real-time auction simultaneously." (5:7-9)</p> <p>"The source code which supports operation of the auctioneer's web site is written in HTML (Hypertext Markup Language) and Perl 5. (11:23-26)</p> <p>"Exhibit 1 shows the auctioneer's home page and associated HTML." (8:29-30)</p>
an auctioning computer arrangement that communicates electronically over the Internet with a plurality of bidding devices;	"In a preferred embodiment, the auctioneer is provided with a computer connected to the Internet and the auctioneer is provided with a website on the Internet through a web server that may be accessed by bidders. In the preferred embodiment, each bidder is provided with a computer connected to the Internet and is provided with conventional web browsing software to obtain access to the auctioneer's website." (11:4-12)
a website that provides markup language display pages regarding the financial instrument to said bidding devices over the Internet;	"The bidder is presented with a series of screens to guide him through the bidding process." (11:13-14) See also Exs 5 & 17
the auctioning computer arrangement receiving, over the Internet during a real-time auction, bids relating to at least a portion of the financial instrument, said received bids being electronically submitted by different bidders via said bidding devices;	<p>"To allow bids to be submitted for selected bond maturities within a new issue, rather than exclusively on an all-or-none basis." (6:27-29)</p> <p>"Muniauction's 'maturity-by-maturity' bidding option enables smaller, regional underwriters and institutional investors [sic; investors] -- previously excluded from traditional competitive sales -- to bid aggressively for selected maturities." (Ex. 2 page 10)</p>
wherein the auctioning computer arrangement:	"The auctioneer's computer broadcasts or otherwise makes available the current highest bid and, if desired the identity of the current highest bidder." (8:5-8)
(a) provides information pertaining to current best bids over the Internet substantially in real time during said real-time auction,	
(b) provides the ability to receive further bids from said bidding devices to allow bidders to improve their bids during said real-time auction, and	"bidders can view the best bid for each maturity and are given the opportunity to make a better offer while the auction is in progress" (6:17-21)
(c) at or after the conclusion of the real-time auction, identifies at least one of said submitted bids as a winning bid.	"At the close of the auction, the auctioneer's computer notifies the bidders' computers of the successful bid." (8:21-23)

<b>Proposed New Claim Language</b>	<b>Example Support in 5/29/97 Provisional Application</b>
189. A real time auctioning system for competitively auctioning financial instruments in response to bids submitted electronically over the Internet, the system comprising:	<p>"The present invention relates to a method of conducting auctions, particularly municipal bond auctions, over electronic networks, particularly the Internet." (1:3-6)</p> <p>"It is an object of the present invention to allow bidders from around the world to participate in a real-time auction simultaneously." (5:7-9)</p>
a plurality of disparately-located bidding devices each communicating with the Internet and each capable of displaying markup language pages, bidders using said bidding devices to electronically submit bids to an auctioning server via the Internet;	<p>In the preferred embodiment, each bidder is provided with a computer connected to the Internet and is provided with conventional web browsing software to obtain access to the auctioneer's website." (11:4-12)</p> <p>"The source code which supports operation of the auctioneer's web site is written in HTML (Hypertext Markup Language) and Perl 5. (11:23-26)</p> <p>"Exhibit 1 shows the auctioneer's home page and associated HTML." (8:29-30)</p> <p>"Muniauction's 'maturity-by-maturity' bidding option enables smaller, regional underwriters and institutional investors [sic; investors] -- previously excluded from traditional competitive sales -- to bid aggressively for selected maturities." (Ex. 2 page 10)</p>
said auctioning server communicating electronically over the Internet with said bidding devices;	<p>"In a preferred embodiment, the auctioneer is provided with a computer connected to the Internet and the auctioneer is provided with a website on the Internet through a web server that may be accessed by bidders. (11:4-12)</p>
a website that provides markup language display pages regarding the financial instrument to said bidding devices over the Internet;	<p>In the preferred embodiment, each bidder is provided with a computer connected to the Internet and is provided with conventional web browsing software to obtain access to the auctioneer's website." (11:4-12)</p> <p>"The bidder is presented with a series of screens to guide him through the bidding process." (11:13-14)  See also Exs 5 &amp; 17</p>
the auctioning server receiving, over the Internet during a real-time auction, bids relating to at least a portion of the financial instrument, the auctioning server:	<p>"To allow bids to be submitted for selected bond maturities within a new issue, rather than exclusively on an all-or-none basis." (6:27-29)</p> <p>"Muniauction's 'maturity-by-maturity' bidding option enables smaller, regional underwriters and institutional investors [sic; investors] -- previously excluded from traditional competitive sales -- to bid aggressively for selected maturities." (Ex. 2 page 10)</p>
(a) providing markup language displays of the current best bids to said bidding devices over the Internet substantially in real time during said real-time auction,	<p>"The auctioneer's computer broadcasts or otherwise makes available the current highest bid and, if desired the identity of the current highest bidder." (8:5-8)</p>

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(b) accepting further bids from said bidding devices to allow bidders to improve their bids during said real-time auction, and	"bidders can view the best bid for each maturity and are given the opportunity to make a better offer while the auction is in progress" (6:17-21)
(c) at or after the conclusion of the real-time auction, identifying at least one of said submitted bids as a winning bid	"At the close of the auction, the auctioneer's computer notifies the bidders' computers of the successful bid." (8:21-23)